

## **WORK FOR OTHERS (WFO) PROCEDURE FOR THE BROOKHAVEN AREA OFFICE**

### **1.0 Purpose**

Work for Others (WFO) is the performance of work for non-DOE entities which, under specified guidelines, allows for the use of DOE facilities, services or technical expertise when private sector facilities are inadequate.

This procedure represents the BAO Work For Others process (Appendix A).

### **2.0 Definitions**

Advance Funding - Laboratory is required to receive either the sum of \$25,000.00 or provide a bridge loan on behalf of the sponsor before work can commence.

Contracting Officer - DOE official with responsibility for administering the contract for the operation of a DOE research facility.

Interagency Agreement (IAG) - provides funding, billing and payment data in support of a reimbursable agreement.

NRC 189 - NRC proposal is referred to as "189."

Non-DOE Entities - includes other federal agencies; state, regional and local governments; private or commercial firms, not-for-profit organizations; international organizations; and foreign governments.

PIQ - Proposal Information Questionnaire which summarizes key information contained in a proposal prepared by the Principal Investigator (PI) and submitted to the sponsor after fully approved.

Sponsor - an entity that provides funding for the performance of WFO.

3-Part Letter - The 3-Part Letter is a mechanism used to obtain BNL's concurrence on the proposed funding for the stated scope of work. BNL concurrence is required prior to approval by the Contracting Officer.

Waiver of DOE Exception to Full Cost Recovery - exception to 3% Federal Administrative charge for approved organizations or institutes.

### **3.0 References**

- 3.1 DOE O 481.1, *Work for Others (Non-Department of Energy Funded Work)*
- 3.2 DOE M 481.1-1, *Reimbursable Work for Non-Federal Sponsors process Manual*
- 3.3 DOE G 481.1-1, *Department of Energy Work for Others Guide.*
- 3.4 DOE O 2110.1A, *Change 2 Pricing of Departmental Materials and Services.*
- 3.5 *Atomic Energy Act of 1954, as amended, Sections 31, 32 and 33.*
- 3.6 *Economy Act of 1932, as amended.*

### **4.0 Responsibilities**

The Business Management Division has a Work for Others team which meets semi-annually to discuss relevant issues and update procedures.

#### **4.1 Reimbursable Technology Specialist**

- Reimbursable Technology Specialist logs in proposal upon receipt.
- Reviews PIQ (Appendix B) and proposal for compliance to DOE Order 481.1 utilizing the applicable checklist (Appendix C1 or C2).
- Reviews statement of work for support of BNL mission.
- Forwards to appropriate technical personnel for review and approval when necessary. For example, NEPA review, safety review, construction review or use of human subjects.
- If sponsor is foreign, completes original proposal package is forwarded to the Office of International Affairs for review and approval.
- If project is of a sensitive nature or involves construction, transmits a copy of package to the Office of Science for review and approval.
- Prepares letter of approval or disapproval for Contracting Officer 's signature.
- Forwards to Procurement Analyst for preparation of folder and data entry.

#### 4.2 Management Analyst

- Management Analyst insures that the NRC proposal is logged in.
- Reviews NRC PIQ (Appendix D) and proposal package for compliance with DOE Order 481.1 utilizing the "Proposal" section of the review checklist.
- Forwards to appropriate technical personnel for review and approval when necessary. For example, NEPA review, or use of human and animal subjects.
- Upon completion of review, forwards the proposal package to the Procurement Analyst for preparation of the Contracting Officer's approval letter.

#### 4.3 Contracting Officer - Primary

- Verifies proposal which meets requirements of DOE O481.1.
- Verifies all supporting documentation is provided.

#### 4.4 Contracting Officer - Secondary

- Retrieves approved proposal from file drawer.
- Reviews the DOE approval transmittal letter for any open items.
- Completes the Agreement section of the Review Checklist - insures that all items are completed before approval.
- Completes Determination Statement (Appendix E).
- Returns agreement to BNL - either approved or disapproved.

#### 4.5 Budget Analyst

- Budget Analyst reviews the Approved Funding Plan (AFP) to insure adequate funding for the WFO Program to proceed with work.
- Signs 3 part letter to secure available funding authority.
- Obligates sponsor's funds in the BNL Contract Mod.
- Maintains a tracking log in the Mod binder to monitor authorization level.
- Requests additional authorization ceiling level by July of the FY as anticipated by BNL, for new or existing proposals.

#### 4.6 Procurement Analyst

- Procurement Analyst prepares approval letter to NRC for BNL proposals. Enter PIQ information into NRC 189 database.
- Enter all WFO Federal and Non-Federal proposals into WFO database.
- Accepts WFO agreements by preparing 3-part letter for Federal IAG's (Appendix F) for BAO signature and forward to BNL. Prepares acceptance letters to Federal Agencies for all IAGs. Enters information into IAG database.
- Prepares closeout letters for completed IAGs.
- Reconciles BNL invoices to total Transfer Voucher. Forwards Transfer Voucher to CH.
- Enters invoices and allotments onto monthly status spreadsheet.
- Prepares WFO monthly status spreadsheet.
- Prepares NRC billing report.
- Maintains and keeps current individual WFO project folders.
- Prepares WFO allotment spreadsheets for Contract Mod.

#### 4.7 **BNL - Responsibilities for Grants**

##### **Funding Documents for BSA Grants**

Grants from NIH and Other Federal Agencies are accepted by BSA. Proposals are reviewed similar to all other proposals. Since BSA executes the Grant, DOE is only responsible for certification of funds. Unlike all other WFO agreements, BAO does not review and approve the terms and conditions of grants.

##### **Follow-up of Grants**

- Initiation of work is subject to receipt of advance funding.
- BNL invoices sponsor on a monthly basis.
- BNL submits to DOE a quarterly report which highlights the status of each account project-by-project. The Status Report (Appendix G) includes: Prior Year Funding; Current Year Funding; Total Funded to Date; Actual Costs to Date; Estimated Balance Available and Estimated Costs for the Current Fiscal Year.

### **Close-Out of Grants**

- Close-out process is treated similar to all other WFO in terms of property and remaining funding.

## **5.0 Review of Non-Federal Proposals and Agreements**

### **5.1 Procedure - Review of Non-Federal Proposals**

- 5.1.1 BNL performs work for other Federal Agencies and non-Federal Organizations. The BAO Reimbursable Technology Specialist reviews all proposals submitted by Federal and Non-Federal Sponsors (excluding NRC).
- 5.1.2 A complete proposal package is submitted by BNL for approval consisting of the following:
  - Letter of transmittal (in duplicate)
  - Proposal Information Questionnaire for WFO Proposals (PIQ)
  - Complete proposal including budget
  - Approval of Exception to Full Cost Recovery (if applicable) (Appendix H)
  - Institutional Review Board Approval/Approvals and Consent Forms for research involving human subjects (if applicable)
  - BNL Animal Care and Use Committee Approval (if applicable)
  - Broad Agency Announcement (if applicable)
  - DOE Form 5634.2 Security Classification Requirements for Establishing a Security Interest, if applicable (Appendix I). This form is sent directly to the Safeguards & Security Division, CH.
- 5.1.3 The package is checked for completeness and logged in.
- 5.1.4 The "Proposal" section of the attached "Review Check List, WFO Proposals and Agreements" (Appendix C1) is completed based on the requirements of DOE Order 481.1
- 5.1.5 The package is not presented to the Contracting Officer for approval until all applicable requirements have been met. For example:
  - (1) Safety issues, use of human subjects, use of aircraft or vessels - package has been approved by technical personnel in the Operations Management Division.
  - (2) Proposal involving construction - package has been approved by technical personnel in the Project Management Division and the Office of Science.
  - (3) Proposal involving security issues - package has been forwarded to DOE Counter Intelligence Officer for review and approval.

- (4) If NEPA has been approved by BNL, package is forwarded to Senior Environmental Engineer in Project Management Division for concurrence.
  - (5) If proposal has a foreign sponsor - package is forwarded to the Office of International Science and Technology Cooperation for review and approval.
- 5.1.6 When the proposal package meets all the requirements of the proposal checklist, an approval letter is prepared for the Primary Contracting Officer's signature and transmitted to BNL along with the Contracting Officer's approval of the BNL transmittal letter (Appendix J 1 & J 2).
- 5.1.7 If the proposal package does not meet the requirements of the proposal checklist, a letter explaining the reason for disapproval is prepared for the Contracting Officer's signature and the complete package is returned to BNL (Appendix K).
- 5.1.8 Completed approved package is given to the Procurement Analyst, who creates the folder, enters the PIQ and all pertinent information into the WFO database and files.

## **5.2 Procedure - Review of Non-Federal Agreements**

- 5.2.1 Upon receipt of proposed Agreement/Contract, Contracting Officer (secondary) retrieves the "approved proposal" from the Reimbursable Technology Specialist's file draw.
- 5.2.2 Reviews the DOE approval letter that transmits the "approved proposal" to BNL for any exceptions or action items (i.e.: NEPA approval, etc). Any open items should be clarified as part of the approval process.
- 5.2.3 The items noted on the "Review Check List - WFO Agreements" (Appendix C 3) should be completed. The Check List includes the minimum requirements of DOE Order 481.1.
- 5.2.4 The package should not be approved until all items on the Review Check List - WFO Agreements (excluding the signing of the Contracting Officer's Determination Statement) is completed. For example:
  - (1) A statement from a Non-Federal Sponsor explaining BNL's unique capability to perform the work must be in the package.
  - (2) If applicable, a statement from the State or Local Government affirming that said Government entity has the authority to enter into the necessary agreement.

- (3) If a proprietary agreement is involved, the package must contain an indication that the appropriate patent waiver has been granted by Intellectual Patent Counsel (IPC), CH
- (4) The package might require review by BAO Legal Counsel and CH IPC. (Note: Modifications extending the period of performance and/or incorporating additional funding, without a change in the scope of work, do not require Counsel's review.)

- 5.2.5 If the package is unacceptable, it is returned to BNL with comments.
- 5.2.6 When the Agreement/Contract package meets all the above requirements, a "Determination Statement" should be completed. (Appendix E)
- 5.2.7 After approval, two copies of the approved agreement are returned to BNL using form letter (Appendix L) noting, if applicable, any conditions or exceptions.
- 5.2.8 Completed file is forwarded to Procurement Analyst for data entry.

## **6.0 Review of Federal Agency Proposals and Agreements (Excluding NRC)**

### **6.1 Procedure - Review of Federal Agency Proposals**

- 6.1.1 BNL performs work for other Federal Agencies and non-Federal Organizations. The BAO Reimbursable Technology Specialist reviews all proposals submitted by Federal Agencies (excluding NRC).
- 6.1.2 A complete proposal package is submitted by BNL to BAO for approval consisting of the following:
  - Letter of transmittal (in duplicate)
  - Proposal Information Questionnaire for WFO Proposals (PIQ)
  - Complete proposal including budget
  - Approval of Exception to Full Cost Recovery (if applicable) (Appendix H)
  - Institutional Review Board Approval/Approvals and Consent Forms for research involving human subjects (if applicable)
  - BNL Animal Care and Use Committee Approval (if applicable)
  - Broad Agency Announcement (if applicable)
  - DOE Form 5634.2 Security Classification Requirements for Establishing a Security Interest, if applicable (Appendix I). This form is sent directly to the Safeguards & Security Division, CH.

- 6.1.3 The package is checked for completeness and logged in.
- 6.1.4 The "Proposal" section of the attached "Review Check List, WFO Proposals and Agreements" (Appendix C2) is completed based on the requirements of DOE Order 481.1
- 6.1.5 The package is not presented to the Contracting Officer for approval until all applicable requirements have been met. For example:
  - (1) Safety issues, use of human subjects, use of aircraft or vessels - package has been approved by technical personnel in the Operations Management Division.
  - (2) Proposal involving construction - package has been approved by technical personnel in the Project Management Division and the Office of Science.
  - (3) Proposal involving security issues - package has been forwarded to DOE Counter Intelligence Officer for review and approval.
  - (4) If NEPA has been approved by BNL, package is forwarded to Senior Environmental Engineer in Project Management Division for concurrence.
  - (5) If proposal has a foreign sponsor - package is forwarded to the Office of International Science and Technology Cooperation for review and approval.
- 6.1.6 When the proposal package meets all the requirements of the proposal checklist, an approval letter is prepared for the Primary Contracting Officer's signature. When it is signed, it is transmitted to BNL along with BNL's transmittal letter signed by the Contracting Officer's (Appendix M 1 & M 2).
- 6.1.7 If the proposal package does not meet the requirements of the proposal checklist, a letter explaining the reason for disapproval is prepared for the Contracting Officer's signature and the complete package is returned to BNL.
- 6.1.8 Completed package is given to the Procurement Analyst, who creates the folder, enters the PIQ and all pertinent information into the WFO database and files.

## **6.2 Procedure - Review of Federal Agency Agreements**

- 6.2.1 Federal Agencies mail IAG's to BAO. Note: If an Intelligence-Related IAG is mailed to BAO but shows the DOE HQ address in the "To" box, BAO forwards it to IN-40 and takes no other action.
- 6.2.2 Procurement Analyst processes funding agreements, i.e., IAGs, for work to be performed by BNL through the 3-part letter and the acceptance letter to the Agency.
- 6.2.3 The Procurement Analyst prepares the 3-Part Letter (Appendix N) and attaches the IAG. If this is new work, the proposal is also attached. The package is given to the Budget Analyst.



- 6.2.4 The Budget Analyst performs an initial cursory review for funds certification, signs Part 1 of the 3-Part Letter and returns the package to the Procurement Analyst who forwards original 3-part letter and copy of IAG to BNL.
- 6.2.5 When the 3-part letter is returned by BNL, the Procurement Analyst checks the middle section of the 3-part letter to determine whether or not the Interagency Agreement (IAG) is Intelligence or Intelligence-Related work. If it is, a carbon copy of the Acceptance Letter is sent to IN-40 HQ. IN receives a copy of the transmittal letter and a copy of the Agency order form.
- 6.2.6 Procurement analyst prepares approval/disapproval package for Contracting Officer. File code will be WFO, Agency and BNL Account Number.
- 6.2.7 Before submitting the package for signature, check middle section of 3-part letter which will indicate whether or not this is a new IAG or a continuation. If it is a new IAG, attach proposal to the package and submit for CO's signature.
- 6.2.8 When the package has been signed, date stamp 3-part letter with the date the IAG was signed. Date all pages of letter with same date. Use "Contracting Officer" stamp under signature on all forms. Distribute as follows:
  - Make appropriate copies of 3-part letter, agency order forms and supporting documentation
  - Agency receives the original transmittal letter with the original order form
  - BNL Budget Office receives a copy of the transmittal letter, a copy of 3-part letter, and copy of order form
  - BNL Budget Office receives a copy of the 3-part letter, transmittal letter and form signed by Contracting Officer.
  - FSA/CH receives a copy of the 3-part letter, with a copy of order form and supporting documentation
- 6.2.9 BAO retains the original 3-part letter (it goes on top of the package), yellow file copy, original Agency letter, copy of signed order form, and the original supporting documentation, if any.
- 6.2.10 Record all pertinent information including signature dates in the IAG database .
- 6.2.11 If the IAG is a new account, create a folder, pendaflex, and file in the established numerical sequence.

## **7.0 Review of NRC Proposals and Agreements**

### **7.1 Procedure - Review of NRC Proposals**

- 7.1.1 BNL performs work for the Nuclear Regulatory Commission (NRC). When the NRC 189 proposal is received by Procurement Analyst, it is logged into the NRC 189 Log.

- 7.1.2 A complete proposal package is submitted to the BAO Management Analyst for approval consisting of the following:
- Letter of transmittal
  - Proposal Information Questionnaire for NRC Work (PIQ)
  - Proposal
  - Institutional Review Board Approval/Approvals and Consent Forms for research involving human subjects (if applicable)
  - BNL Animal Care and Use Committee Approval (if applicable)
  - DOE Form 5634.2 Security Classification Requirements for Establishing a Security Interest (Appendix I). This form is sent directly to the Safeguards & Security Division, CH.
- 7.1.3 Management Analyst reviews against requirements of DOE Order 481.1 The "Proposal" section of the attached "Review Check List, NRC Proposals and Agreements" (Appendix O) is completed.
- 7.1.4 After it has been reviewed, the Management Analyst returns it to the Procurement Analyst to prepare the approval letter (Appendix P). Package is given to the Contracting Officer for completion of the Agreement Section and Determination Statement (Appendix Q). After the letter has been signed by the Contracting Officer, it is returned to the Procurement Analyst for mailing, entering the proposal information into the database, and filing.

## **7.2 Procedure - Review of NRC Agreements:**

- 7.2.1 NRC mails Interagency Agreements (IAG's) to BAO with a copy to BNL in accordance with a mutual agreement between DOE and NRC.
- 7.2.2 BNL performs the preliminary review. If acceptable, the 3-part letter and approval letter is prepared by BNL. After BNL Budget signs 3-part letter, it is forwarded to the Procurement Analyst at BAO.
- 7.2.3 Prepare IAG package for approval. File code will be WFO, Agency and BNL Account Number. Arrange package, top to bottom, as follows:
- 3-part letter with paper clip
  - Original acceptance letter (Appendix R)
  - Copy of NRC original letter
  - NRC Form 173
  - Supporting Documentation
  - Proposal (if new account)
- 7.2.4 Before submitting the package for signature, the middle section of the 3-part letter will state whether or not this is a new IAG or a continuation. If it is a new IAG, retrieve the proposal (NRC FORM 189) from file and attach it to the package. The proposal should contain the NRC Written Determination (Appendix Q) and NRC Checklist (Appendix O).

- 7.2.6 Budget Analyst ensures sufficient level of Budget Authority to cover the amount of the IAG and then forwards to the Contracting Officer. If insufficient Budget Authority exists, the Budget Analyst either secures the appropriate funding or recommends rejection of the IAG.
- 7.2.7 Upon funds certification, the package is presented to the Contracting Officer for signature.
- 7.2.8 When the package has been signed, date stamp 3-part letter with the date IAG was signed. Date all pages of letter with same date, the copies must also be stamped with "Original signed by Contracting Officer" stamp. Use "Contracting Officer" stamp under signature on all NRC Form 173's. Distribute as follows:
- Make appropriate copies of 3-part letter
  - Make five copies of NRC 173 Form
  - If there is any supporting documentation, make three copies.
  - Agency receives the original transmittal letter with the original order form
  - BNL Budget Manager receives a copy of the transmittal letter, copy of 3-part letter, and copy of NRC 173 form
  - Director, Office of Risk Analysis & Technology Division receives a copy of the transmittal letter, and a copy of NRC's 173 form
  - NRC Program Office (cc: on acceptance letter) gets copy of acceptance letter and copy of NRC's 173 form.
  - FSG/CH(on 3-part letter) receives a copy of the 3-part letter, with copy of NRC 173 form and any supporting documentation
- 7.2.9 BAO retains the original 3-part letter (it goes on top of the package), copy of transmittal letter, original Agency letter, copy of signed NRC 173 form, NRC Written Determination, NRC Checklist and original back-up if any.
- 7.2.10 Record all pertinent information including signature dates on the database (R-Base).
- 7.2.11 If the IAG is a new account, create a folder, and file. .
- 7.2.12 If the 173 is not accepted by the Contracting officer, the 173 is returned to NRC unexecuted.

## **8.0 Close-Out of Funding Agreements**

### **8.1 Non Federal Agreements**

- 8.1.1 BAO is not responsible for the contract administration of non-Federal agreements.
- 8.1.2 BNL closes out non-Federal funding agreements, covering such subjects as final payment, disposition of property, etc.

- 8.1.3 BNL notifies BAO of closed out agreements, in writing, and includes the proposal number, BNL Account No., and name of Sponsor.
- 8.1.4 Upon receipt of a close-out notice, the Procurement Analyst retrieves the folder for relevant data entry into the WFO Database.
- 8.1.5 The folder is marked with a records retention date and filed by proposal number in the "Completed" file drawer.

## **8.2 Federal IAG's/Grants**

- 8.2.1 BAO is typically notified by BNL that work is completed. Notification should include deobligation amount, property certification, IAG number and BNL account number.
- 8.2.2 Reconciliation of balances between BAO, CH and BNL is performed by the procurement Analyst.
- 8.2.3 Upon successful reconciliation, BAO notifies the sponsor of status.
- 8.2.4 BAO receives a closeout IAG from the sponsor with property disposition form agreed to.
- 8.2.5 Procurement Analyst processes closeout of Federal IAGs. The 3-part letter is signed by the Budget Analyst and sent to BNL.
- 8.2.6 For NRC closeouts, the 3-part letter is initiated by BNL, then goes to the Budget Office for approval, and signature. Then the package is sent to BAO for approval.
- 8.2.7 When the 3-part letter is returned by BNL, an acceptance letter is prepared (Appendix S).
- 8.2.8 The second part of the 3-part letter, which is signed by the budget office, contains the breakdown to be deobligated. Match these numbers with the numbers on BAO's spreadsheet and reconcile with CH's balances. As long as these numbers match we may proceed. If these numbers do not match, BAO must reconcile the amount to be deobligated with BNL.
- 8.2.9 If BNL and BAO agree on the deobligation amount but the amount on the IAG/NRC 173 does not agree, BAO must reconcile the amount with the Agency before deobligating the account. BAO cannot deobligate an account until all parties agree to the deobligation amount.

8.2.10 Prepare approval package as follows:

- 3-part letter with paper clip
- yellow file copy with paper clip
- Spreadsheet
- NRC/Agency letter (if any)
- transmittal letter with paper clip
- NRC 173's/IAG with paper clip
- Property Certification Form/Property Disposition Form
- any back-up

8.2.11 Submit to Secondary Contracting Officer for signature.

8.2.12 When package has been signed, date stamp 3-part letter with the date IAG was signed. Date all pages of letter with same date. Use "Contracting Officer" stamp under signature on all forms. Distribute as follows:

- NRC/Agency receives original transmittal letter with original NRC 173/IAG, copy of Property Certification, Original Property Disposition Form
- BNL Budget Manager receives a copy of transmittal letter, copy of 3-part letter, a copy of NRC 173/IAG, and copy of Property Disposition form.
- Budget Office receives a copy of 3-part letter, copy of transmittal letter, copy of the NRC 173/IAG, a copy of Property Certification, and a copy of Property Disposition form.
- FS, CH (on 3-part letter) receives copy of 3-part letter, with copy of NRC 173/IAG and any back-up and a copy of Property Certification form.

8.2.13 BAO retains original 3-part letter (it goes on top of package), copy of signed transmittal letter, original NRC/Agency letter, copy of signed NRC 173/IAG, any original back-up and original Property Certification form (Appendix T).

8.2.14 Record all pertinent information including signature dates in the IAG database and contract mod. spreadsheets.

8.2.15 The folder can be filed in the "CLOSED" filing cabinet.

**9.0 Procedure - Obligating WFO Funds On A Contract Modification**

9.1.1 On a monthly basis, the Budget Analyst and the CH Budget Office prepare a Contract Modification for BNL. This modification includes all of the WFO IAGs that have been processed during the month.

9.1.2 The Budget Analyst insures that all of the executed IAGs have been included in the Contract MOD.

- 9.1.3 The Procurement Analyst gives the Budget Analyst a report listing all executed IAGs for transmittal to CH for inclusion into the current Contract Modification.
- 9.1.4 The total of the year to date WFO funding is computed and compared to the ceiling provided by HQ for the current fiscal year. (The Budget Analyst cannot obligate funds that result in a year to date total greater than the WFO ceiling.) If the total dollars obligated is approaching the ceiling amount, the Budget Analyst must contact CH and request approval of a higher ceiling amount.
- 9.1.5 The Budget Analyst compares current IAGs against the total amount obligated to date and compares that to the AFP total. This is done for both WFO appropriations (89X0224 and 89X0240).
- 9.1.6 The completed Contract Modification is distributed to BSA, CH, HQ, and BAO.
- 9.1.7 Because the DOE Contracting Officer does not approve or execute grants, the Budget Analyst is responsible for certifying the funds on a 2-part letter (Appendix U).

## **Appendices**

Appendix A - WFO Flow Charts

Appendix B - PIQs for Federal and Non-Federal sponsored WFO proposals

Appendix C 1 & C 2 - Review checklists for Federal and Non-Federal proposals

Appendix C 3 - Review checklist for WFO agreements (Excluding NRC)

Appendix D - NRC PIQ

Appendix E - CO Determination Statement for Agreements (Excluding NRC)

Appendix F - IAG

Appendix G - WFO Status Report

Appendix H - Waiver form

Appendix I - DOE Form 5634.2

Appendix J 1 - CO approval letter to BNL - Non-Federal proposals

Appendix J 2 - CO approval of BNL transmittal letter - Non-Federal proposals

Appendix K - CO disapproval letter to BNL

Appendix L - CO approval letter for Non-Federal agreements

Appendix M 1 - CO approval letter to BNL - Federal proposals

Appendix M 2 - CO approval of BNL transmittal letter - Federal proposals

Appendix N - 3-part letter

Appendix O - Review checklist for NRC proposals

Appendix P - Proposal approval letter to NRC

Appendix Q - CO Determination Statement for NRC

Appendix R - IAG acceptance letter

Appendix S - IAG closeout acceptance letter

Appendix T - Property Certification form

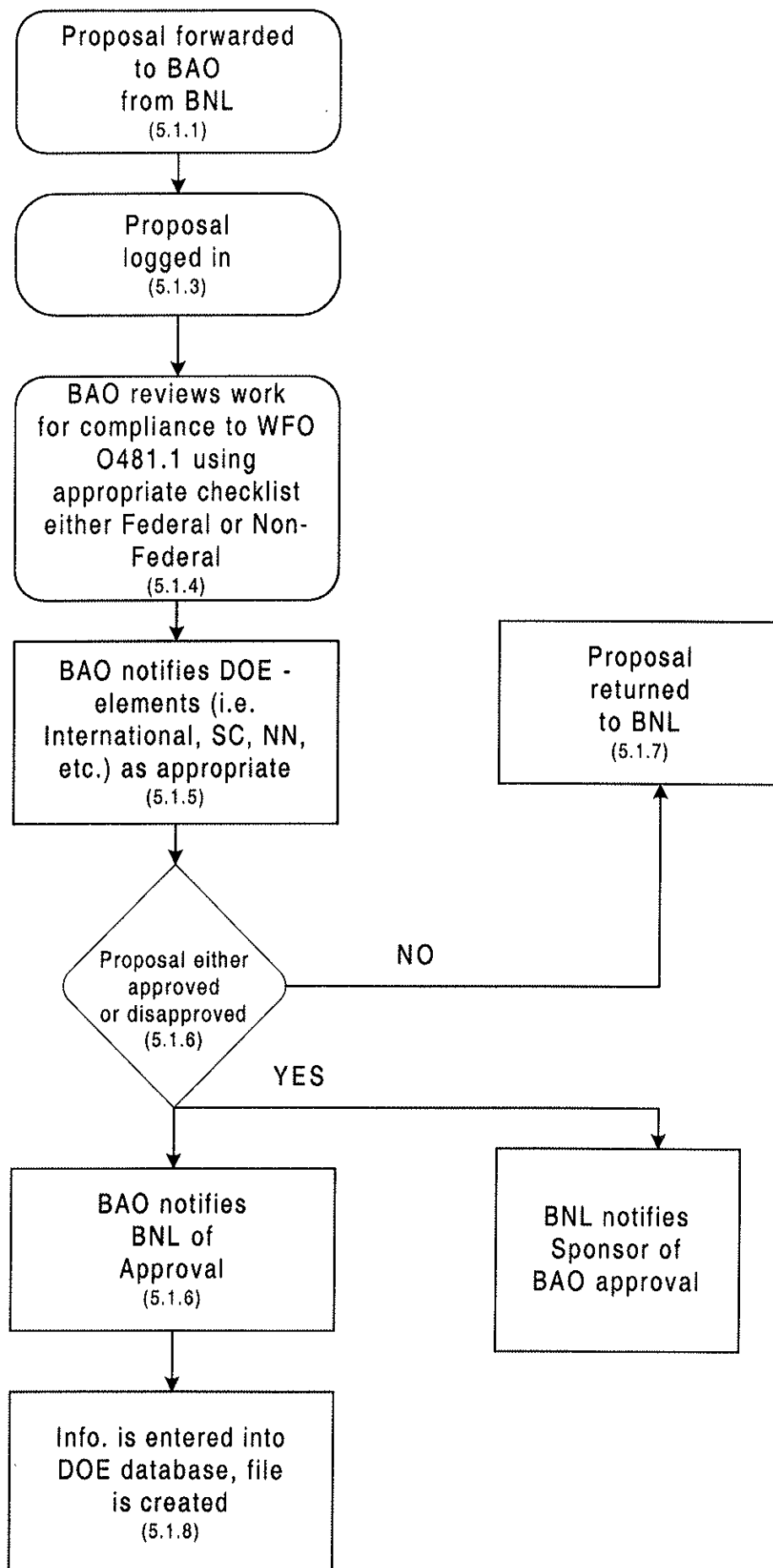
Appendix U - 2-part letter

Preparer: Peterson Pellodino Date: 4/30/01

Division Director Approval: [Signature] Date: 4-30-01

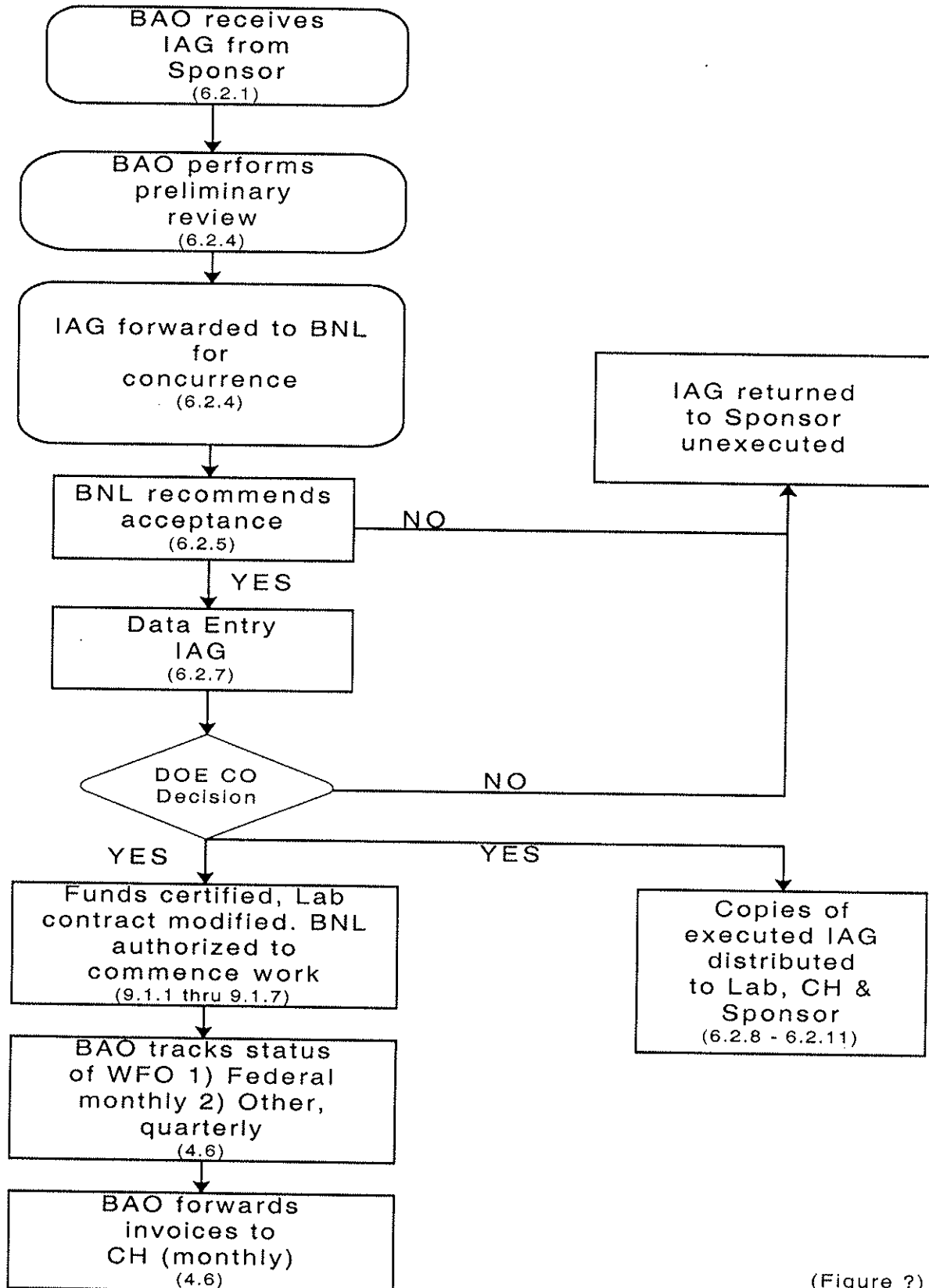
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BAO Federal/Non-Federal  
Proposal Process

(Figure ?)

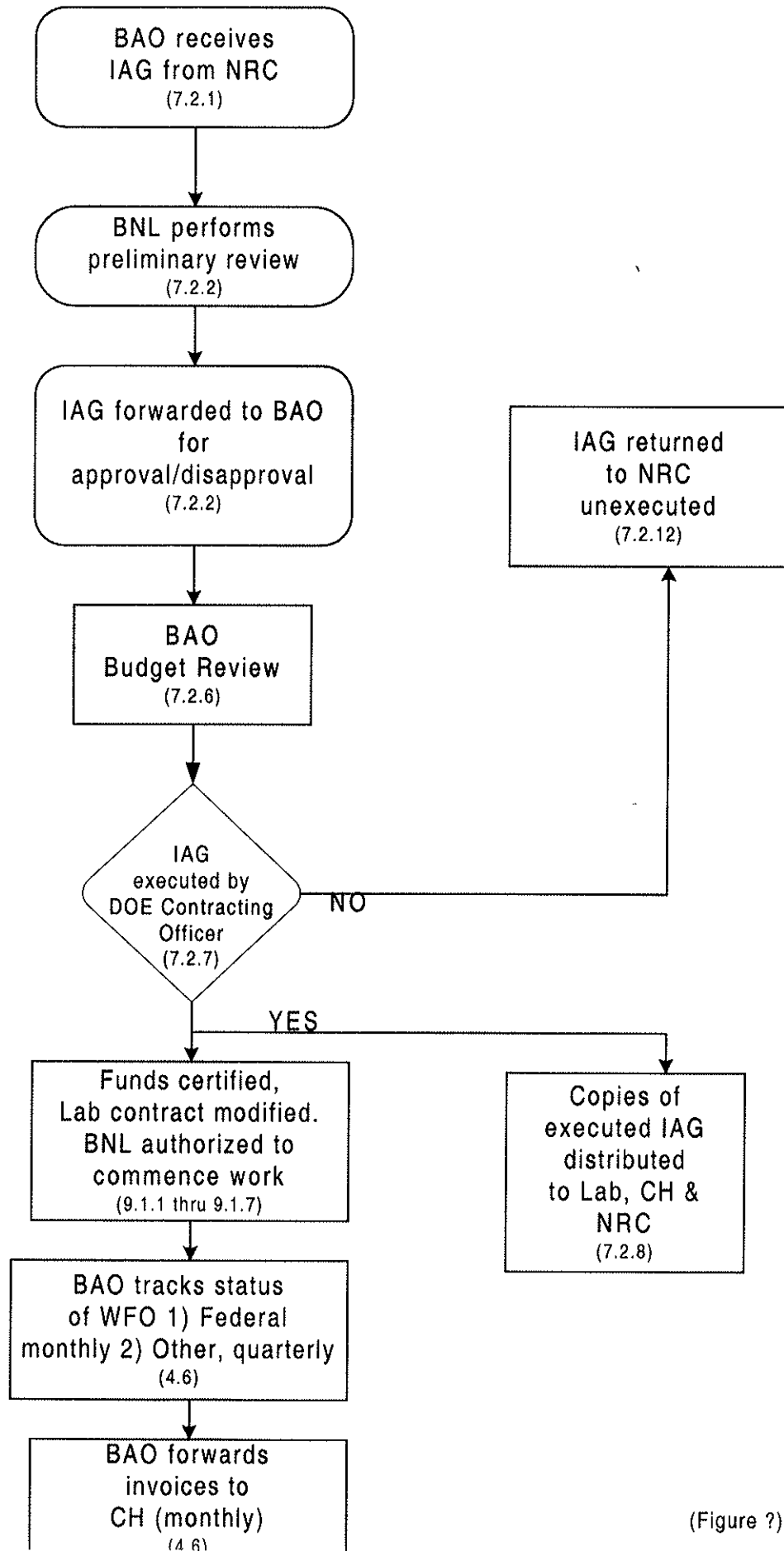
IAG Process (Excluding NRC)  
Brookhaven Area Office



(Figure ?)

Nuclear Regulatory Commission  
IAG Process  
Brookhaven Area Office

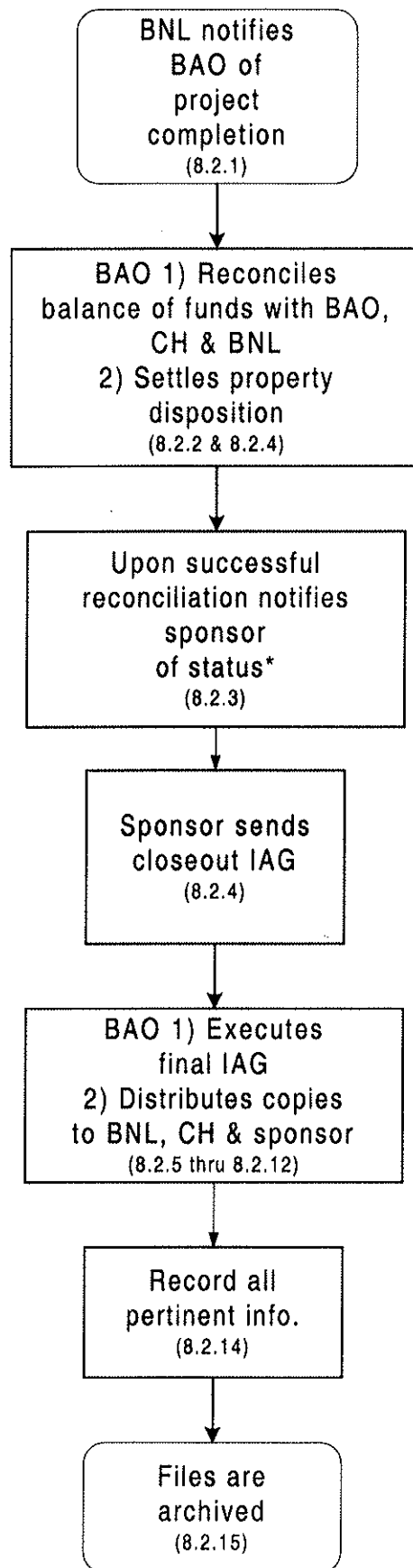
APPENDIX A



(Figure ?)

Closeout of Federal  
IAGs/Grants

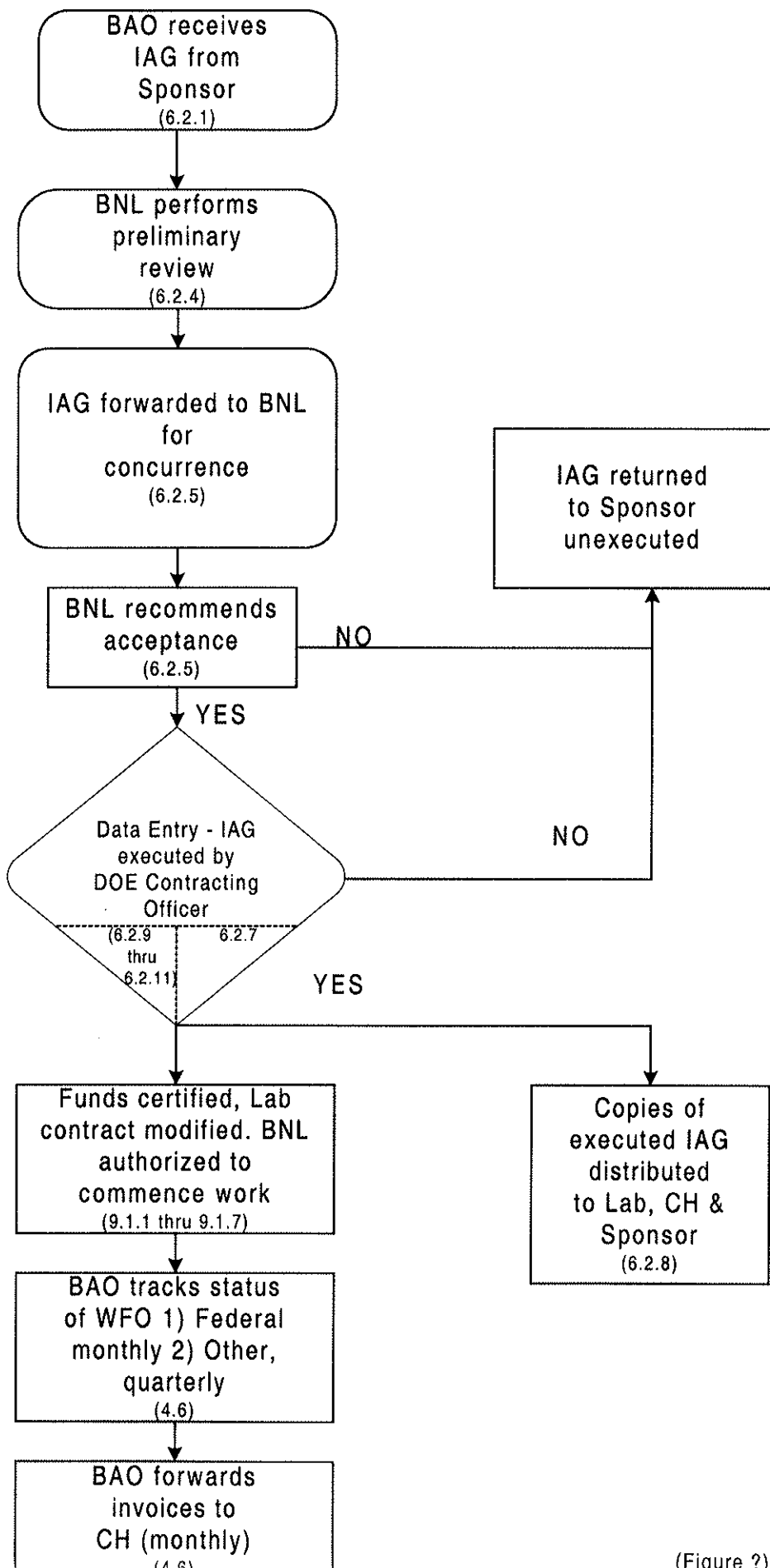
APPENDIX A



\* If after 3rd notification, sponsor does not acknowledge request for closeout, BAO initiates the final closeout of the IAG.

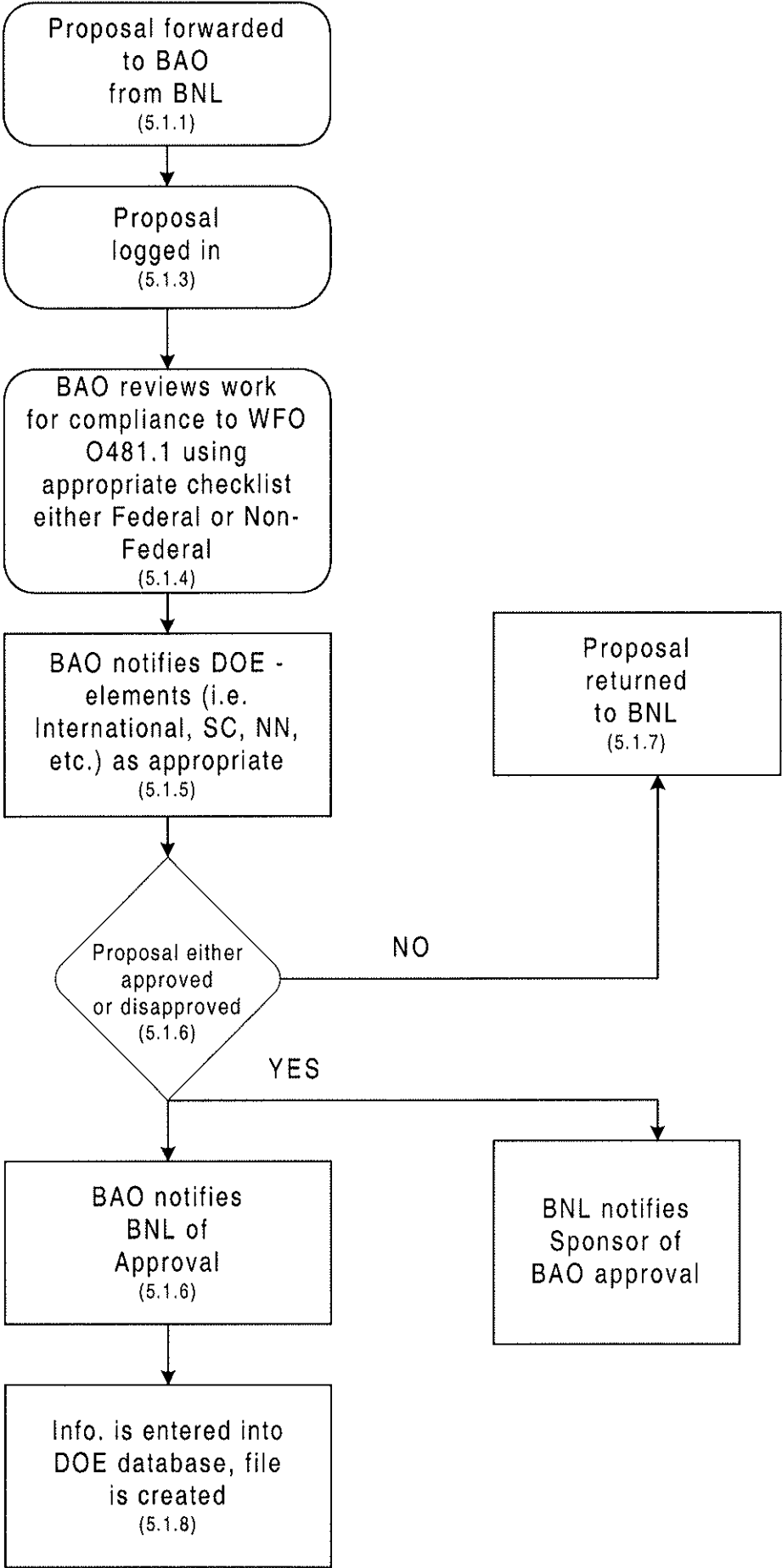
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IAG Process (Excluding NRC)  
 Brookhaven Area Office

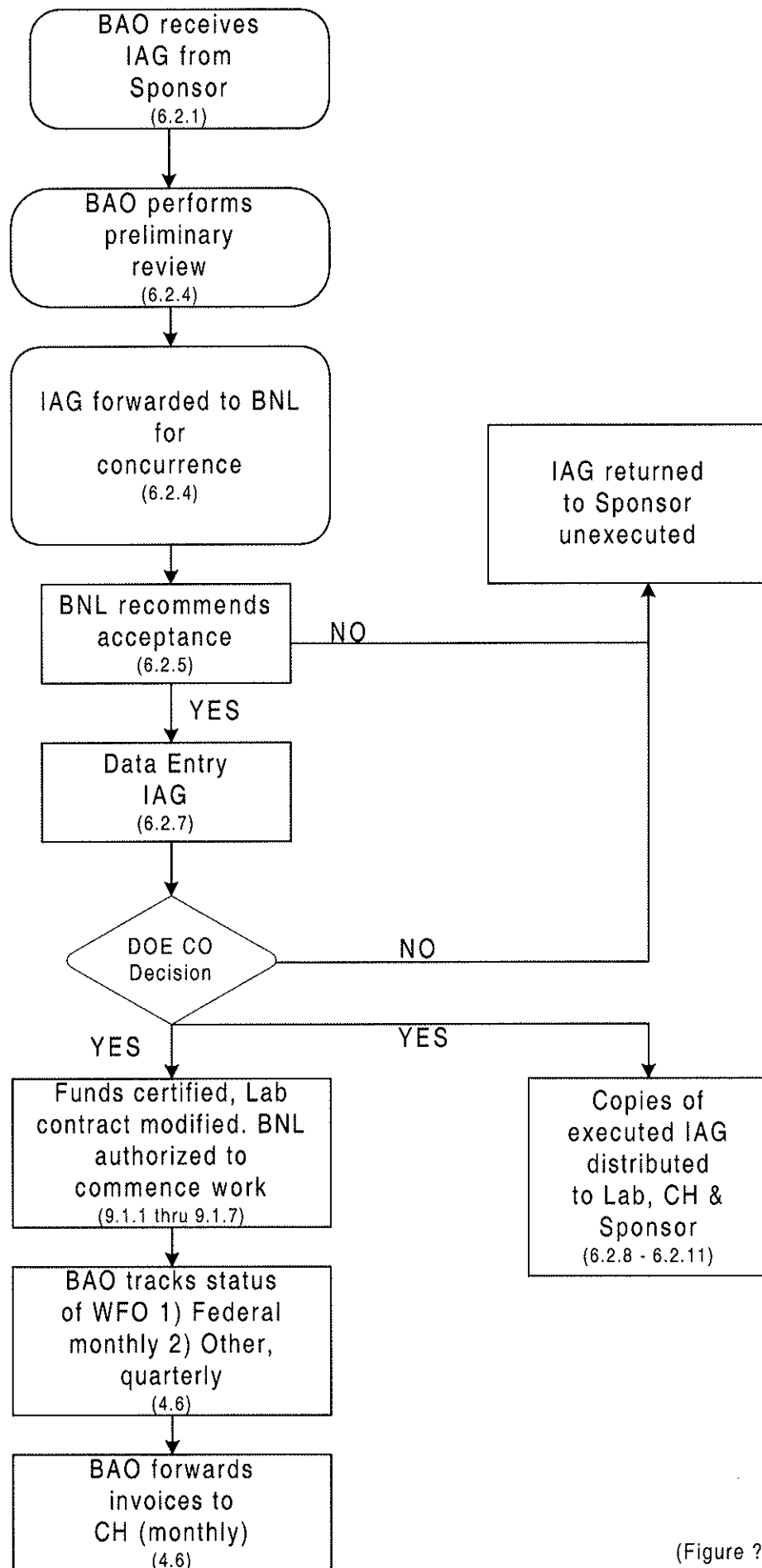


(Figure ?)

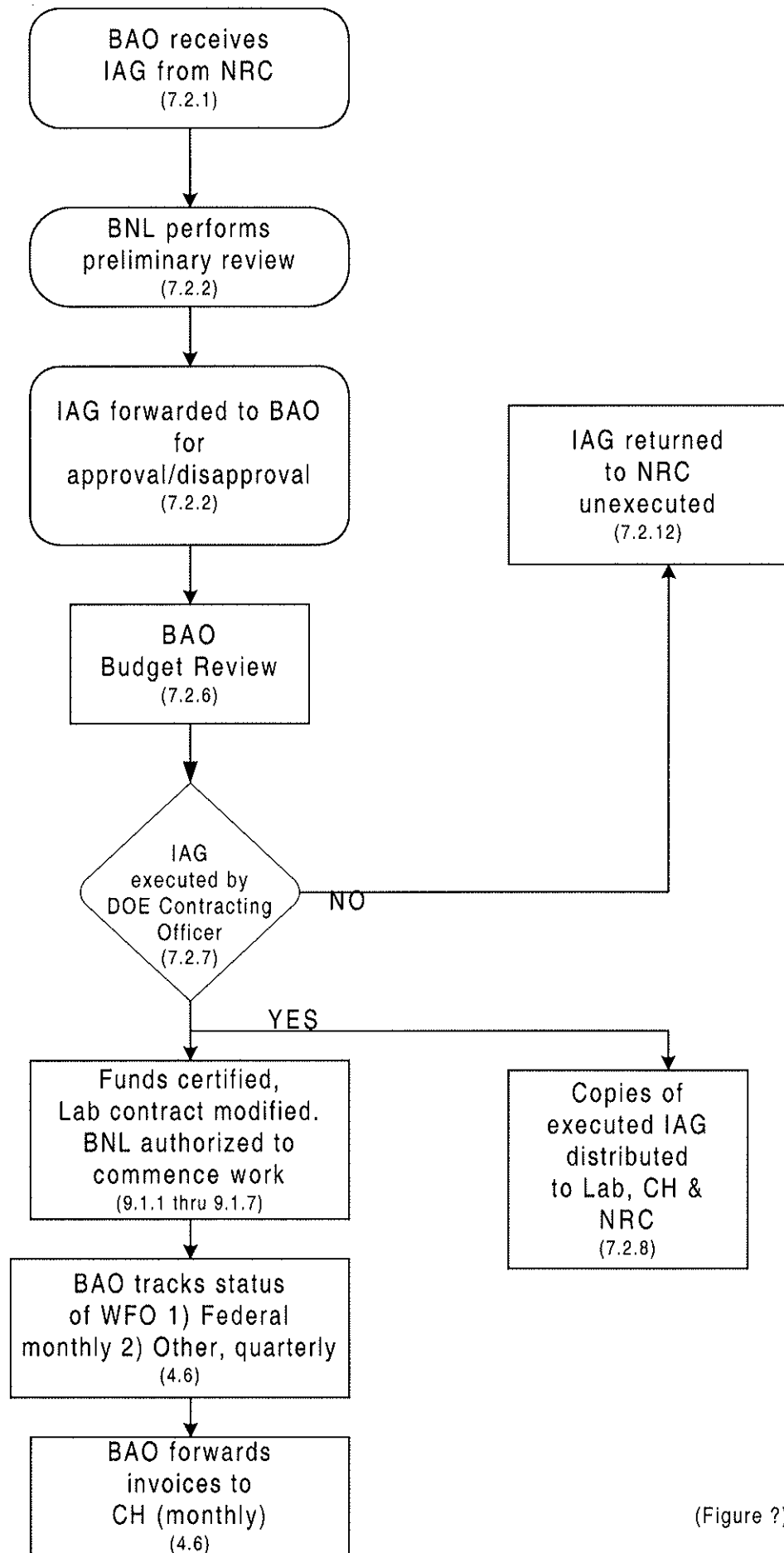
BAO Federal/Non-Federal  
Proposal Process



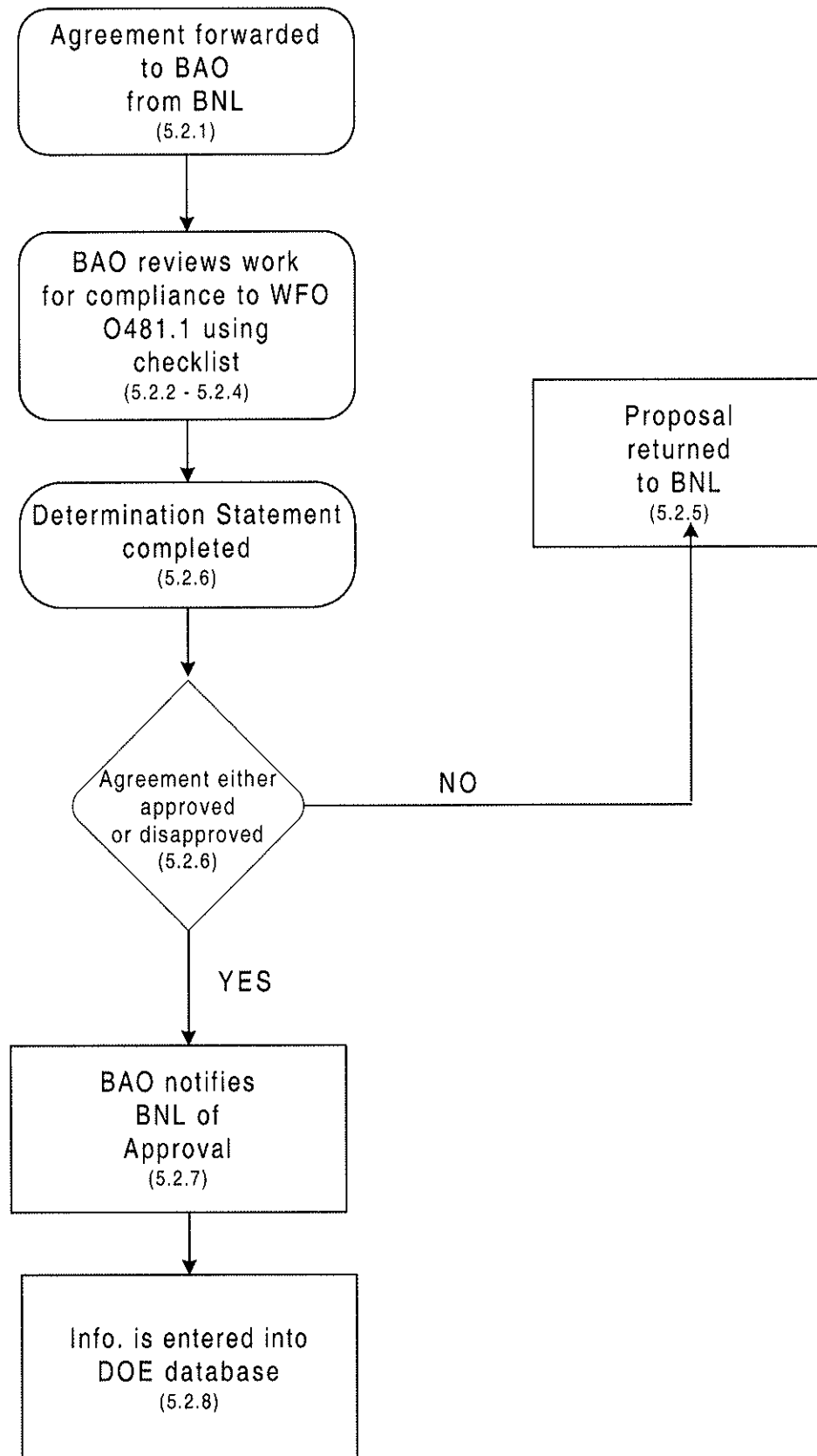
(Figure ?)



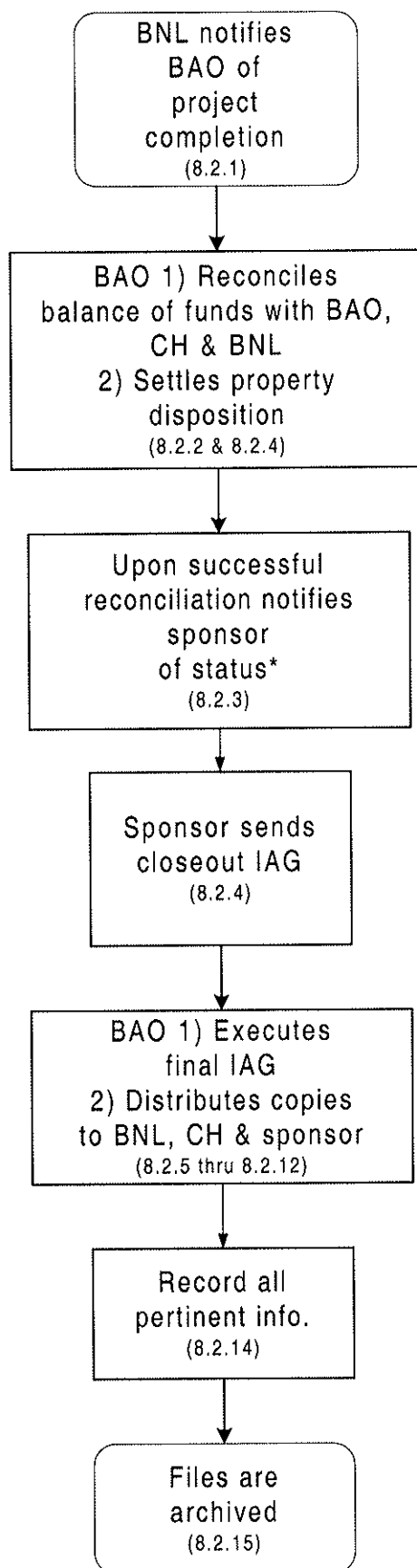
Nuclear Regulatory Commission  
IAG Process  
Brookhaven Area Office





BAO Non-Federal  
Agreement Review Process

(Figure ?)

Closeout of Federal  
IAGs/Grants

\* If after 3rd notification, sponsor does not acknowledge request for closeout, BAO initiates the final closeout of the IAG.

Proposal No.

**BROOKHAVEN NATIONAL LABORATORY  
PROPOSAL INFORMATION QUESTIONNAIRE (PIQ)  
WFO FEDERAL SPONSORS**

**I. GENERAL INFORMATION**

1. Proposal Title:
2. Name of Principal Investigator:
3. Proposed Period of Performance:
4. Proposed Funding:    Year 1 - \$ \_\_\_\_\_    Year 4 - \$ \_\_\_\_\_  
                                  Year 2 - \$ \_\_\_\_\_    Year 5 - \$ \_\_\_\_\_  
                                  Year 3 - \$ \_\_\_\_\_    TOTAL - \$ \_\_\_\_\_
5. Brief Description of Work:

**II. SPONSOR INFORMATION**

6. Sponsor Organization:
7. Sponsor Address:
8. Sponsor Contact (Name & Phone):

**III. PROPOSAL ORIGIN**

9. Legal Authority for Performing Work (check one)  
       \_\_\_ Atomic Energy Act    \_\_\_ Economy Act    \_\_\_ Intergovernmental Cooperation Act  
       \_\_\_ Other (Name MOU, International Agreement, etc.)
10. Describe how the request to perform proposed work originated
11. Is proposal in response to a published RFP (Yes/No)
12. Is this going to be a grant or IAG? (G/I)
13. Is this a co-sponsored research proposal? If yes, indicate  
       co-sponsor \_\_\_\_\_ (Yes/No)
14. Is proposal in response to a Request for Application (RFA) or Broad  
       Agency Announcement? If yes, attach copy of RFA or BAA (Yes/No)

**IV. CLASSIFICATION SECURITY**

15. Classification Review
  - a. Is the proposed work classified? (Yes/No)
  - b. Will classified information, export controlled information  
       (ECI) or unclassified controlled nuclear information  
       (UCNI) be used or referenced in this work? (Yes/No)
  - c. Will classified information, ECI, or UCNI be produced  
       from this work? (Yes/No)
  - d. Are Special Nuclear Materials involved in this work? (Yes/No)
  - e. If a, b, c, or d has been answered "Yes", has appropriate  
       documentation and copy of PIQ and proposal been  
       forwarded to BNL's Facility Security Manager? (Yes/No)

f. Is proposed work Category II or Category III work? If "Yes", attach a certification that the Sponsor's has either provided the appropriate classification guidance or the Sponsor's written statement that the work will not entail classified activities (Yes/No)

16. Does proposal involve intelligence related work? (Yes/No)

17. Does proposal involve any nuclear nonproliferation detection technology? (Yes/No)

18. Does proposal involve space nuclear , noncommercial power reactor or radioisotope power source work? (Yes/No)

19. Information Security

a. Could proposed work produce information or technology that may have an impact on U.S. national or economic security? (Yes/No)

b. If a. has been answered "Yes", will non-U.S. citizens have access to information or technology? (Yes/No)

c. Does proposed work involve a computer to process sensitive data or information? (Yes/No)

d. If a., b. or c. has been answered "Yes", has a security analysis been requested? (Yes/No)

**V. INTELLECTUAL DATA**

20. Does this work involve a BSA-owned invention or one in which BSA intends to elect title, or one in which the proposer has a financial interest? (Yes/No)  
If "Yes", provide complete details in attachment to PIQ.

21. Are there any restrictions on publication or distribution of data/information pertaining to this proposal? (Yes/No)  
If "Yes", state restriction

**VI. PROJECT SPECIFICS**

22. Is sponsor funding the purchase of capital equipment? (Yes/No)

If "Yes", provide cost and description of equipment

Year 1 - \$ \_\_\_\_\_ Year 4 - \$ \_\_\_\_\_

Year 2 - \$ \_\_\_\_\_ Year 5 - \$ \_\_\_\_\_

Year 3 - \$ \_\_\_\_\_ TOTAL - \$ \_\_\_\_\_

Description: \_\_\_\_\_

Who takes title to equipment?

23. Is R&D subcontracting/consulting anticipated? (Yes/No)

If "Yes", provide cost of subcontracting

Year 1 - \$ \_\_\_\_\_ Year 2 - \$ \_\_\_\_\_ Year 3 - \$ \_\_\_\_\_

a. If subcontracting costs exceed 10% of total cost, provide justification:

b. Estimated number of subcontractors/consultants \_\_\_\_\_

c. Names of subcontractors/consultants: \_\_\_\_\_

Affirm the following statements by initialing:

d. The subcontracts/consultants and work to be performed will be made by BNL, not the Sponsor. \_\_\_\_\_

e. The selection of subcontractors/consultants and work to be performed will be made by BNL, not the Sponsor. \_\_\_\_\_

f. The work to be performed by subcontractors/consultants will be in direct support of BNL, not the Sponsor. \_\_\_\_\_

24. Is any construction or modifications to BNL facilities involved? (Yes/No)

If "Yes", provide cost and description of construction/modification

Year 1 - \$ \_\_\_\_\_ Year 4 - \$ \_\_\_\_\_

Year 2 - \$ \_\_\_\_\_ Year 5 - \$ \_\_\_\_\_

Year 3 - \$ \_\_\_\_\_ TOTAL - \$ \_\_\_\_\_

Description:

25. Are there any unusual space, equipment, or support requirements? (Yes/No)

If "Yes", provide details:

26. Are **human subjects** involved from BNL or a collaborating institution? (Yes/No)

If "Yes", attach copy of the current Institutional Review Board (IRB) approval. All applicable approval and consent forms from participating institutions are on file in the Office of Human Subjects Research Administration.

27. Are **animal subjects** involved in proposed work? (Yes/No)

If "Yes", attach copy of BNL's Animal Care and Use Committee approval and verify that required assurance statements appear in the proposal on Page \_\_\_\_.

28. Does proposed work require travel to a foreign country? (Yes/No)

If "Yes", identify foreign country:

29. Provide following information on how proposed work will support DOE missions:

DOE Program Name:

Program B&R No.:

Name of DOE Program Contact:

Telephone No.:

Explain relationship between proposed work and DOE missions:

30. Are there any unique safety or liability requirements, such as the use of aircraft or sea-going vessels? (Yes/No)
31. Is another DOE facility involved in the proposed work?  
If "Yes", identify facility \_\_\_\_\_ (Yes/No)
32. Is the project being charged less than Full Cost Recovery? If no, proceed to 33.  
If "Yes":
- 1) Is the sponsor among the listed organizations that has received DOE's approval for a waiver. (Attach waiver report) (Yes/No)
- 2) Sponsor has not received automatic DOE approval for waiver. (Attach waiver request) (Yes/No) \_\_\_\_
33. NEPA Review:
- a. Does this proposal represent a continuation of current activities covered by a NEPA review? (Yes/No) \_\_\_\_
- b. If NO, has a NEPA review been completed in accordance with the Subject Area National Environmental Policy Act (NEPA) and Cultural Resources Evaluations and the results documented? (Yes/No) \_\_\_\_
- If a NEPA review has not been completed, submit a copy of the work proposal to the BNL NEPA Coordinator for review. No work may commence until the review is completed and documented.
34. Does the proposal provide sufficient funding for appropriate decommissioning of the research space when the experiment is complete? (Yes/No) \_\_\_\_
35. Is there an available waste disposal path for project wastes throughout the course of the experiment? (Yes/No) \_\_\_\_
36. Is funding available to properly dispose of project wastes throughout the course of the experiment? (Yes/No) \_\_\_\_
37. Can the proposed work be carried out within the existing safety envelope of the facility (Facility Use Agreement, Nuclear Facility Authorization Agreement, Accelerator Safety Envelope (ASE), etc.) in which it will be performed? (Yes/No) \_\_\_\_

If not, what has to be done to prepare the facility to accept the work (modify the facility, revise the SAR/SAD, revise the Facility Use Agreement, etc.) and how will the modifications be funded?

38. Additional remarks pertaining to any of the above items

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## VII. CERTIFICATIONS

Department Chair shall affirm the following statements by initialing and providing details as required.

39. BNL is uniquely qualified to perform proposed work and as such will not place BNL in direct competition with the domestic private sector.  
Describe BNL's unique capabilities and why work can not be performed by private sector:
40. BNL will perform proposed work in accordance with all applicable BNL environmental, safety and health policies. A NEPA determination will be performed in accordance with the Subject Area National Environmental Policy Act (NEPA) and Cultural Resources Evaluations and the results Documented prior to commencement of work.
41. The proposed work is consistent with or complimentary to DOE and BNL missions (refer to Item No. 29).
42. The proposed work will not adversely impact execution of assigned programs at BNL.
43. The proposed work will not create a detrimental future burden on DOE resources.
44. BNL project personnel do not have any known affiliations with the sponsor that could present the appearance of Conflict of Interest. Each employee of BNL has completed a Conflict of Interest statement that complies with its prime contract with DOE. If during the course of the work, conflicts are revealed, steps will be taken to manage and/or mitigate them.

## VIII. APPROVALS:

\_\_\_\_\_  
Principal Investigator Date

\_\_\_\_\_  
Department Administrator Date

\_\_\_\_\_  
Department Chair Date

\_\_\_\_\_  
M. C. Bogosian, Patent Counsel Date

\_\_\_\_\_  
Laboratory Official

\_\_\_\_\_  
Date

**BNL's budget for this proposal has been developed in accordance with DOE Order 2110.1A and BNL's approved financial accounting practices**

\_\_\_\_\_  
R. Melucci, Budget Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
DOE Field Office Official

\_\_\_\_\_  
Date



**BROOKHAVEN NATIONAL LABORATORY  
PROPOSAL INFORMATION QUESTIONNAIRE (PIQ)  
WFO NON-FEDERAL SPONSORS**

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**II. SPONSOR INFORMATION**

6. Sponsor Organization:
7. Sponsor Address:
8. Sponsor Contact (Name & Phone):
9. Sponsor Designation (check one):
 

<input type="checkbox"/> Private	<input type="checkbox"/> State Government
<input type="checkbox"/> Not-for-Profit	<input type="checkbox"/> Local Government
<input type="checkbox"/> University	<input type="checkbox"/> Foreign
<input type="checkbox"/> Small Business	
- a. Does Sponsor qualify for an exemption to DOE Added Factor? (Yes/No)

**III. PROPOSAL ORIGIN**

10. Legal Authority for Performing Work (check one)
 

<input type="checkbox"/> Atomic Energy Act
<input type="checkbox"/> Economy Act
<input type="checkbox"/> Intergovernmental Cooperation Act
<input type="checkbox"/> Other (Name MOU, International Agreement, etc.)
11. If Sponsor's source of funding is a grant or contract from the federal government, identify funding source:
12. Describe how the request to perform proposed work originated:
13. Is proposal in response to a published RFP with BNL either directly responding to the RFP or participating as a team member in Sponsor's response to RFP? (Yes/No)
14. Is this a grant proposal? (Yes/No)
15. Is this a co-sponsored research proposal? If yes, indicate co-sponsor \_\_\_\_\_ (Yes/No)
16. Is proposal in response to a Request for Application (RFA) or Broad Agency Announcement? If yes, attach copy of RFA or BAA (Yes/No)

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  - a. Is the proposed work classified? (Yes/No)

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- c. Will classified information, ECI, or UCNI be produced from this work? (Yes/No)
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  - c. Does proposed work involve a computer to process sensitive data or information? (Yes/No)
  - d. If a., b. or c. has been answered Yes, has a security analysis been requested? (Yes/No)

## V. INTELLECTUAL PROPERTY/PROPRIETARY DATA

- 22. Does this work involve a BSA-owned invention or one in which BSA intends to elect title, or one in which the proposer has a financial interest? (Yes/No)  
If Yes, provide complete details in attachment to PIQ.
- 23. Are there any restrictions on publication or distribution of data/information pertaining to this proposal? (Yes/No)  
If Yes, state restriction
- 24. Proprietary Data (This section to be completed ONLY if proposal is being submitted to a Anon-Government sponsor.)
  - a. Will the P.I. in the course of conducting this research be using Proprietary Data known to BNL as a result of a separate program funded by a different sponsor? (Yes/No)
  - b. Will sponsor be delivering Proprietary Data to BNL under this proposal? (Yes/No)
  - c. Will research covered by this proposal be performed under a Proprietary Research Agreement? If Yes, have the ramifications of proprietary work been discussed with the DOE/HQ Program Official and has this Program Official been advised that he/she will have to certify, before the Proprietary Research Agreement is approved by DOE, that the work being performed by BNL is not covered by any other DOE

contract and is not of sufficient DOE programmatic  
interest to warrant DOE funding?

(Yes/No)

## VI. PROJECT SPECIFICS

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32. Provide following information on how proposed work will support DOE missions:  
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Program B&R No.: \_\_\_\_\_  
Name of DOE Program Contact: \_\_\_\_\_  
Telephone No.: \_\_\_\_\_  
Explain relationship between proposed work and DOE missions: \_\_\_\_\_
33. Are there any unique safety or liability requirements, such as the use of aircraft or sea-going vessels? (Yes/No)
34. Is another DOE facility involved in the proposed work? (Yes/No)  
If Yes, identify facility \_\_\_\_\_
35. Is a Waiver of Other Costs being requested? (Yes/No)  
If Yes, attach basis for waiver and supporting documentation \_\_\_\_\_